



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Michael A. Apicella et al. Art Unit : 1645
Serial No. : 09/077,572 Examiner : S. Devi, Ph.D.
Filed : June 1, 1998
Title : NON-TOXIC MUTANTS OF PATHOGENIC GRAM-NEGATIVE BACTERIA

JUN 22 2004

TECH CENTER 1600/2300

MAIL STOP AMENDMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

AMENDMENT TO CORRECT INVENTORSHIP UNDER 37 C.F.R. § 1.48(b) DUE TO
CANCELLATION OF CLAIMS

Applicants request that RASAPPA ARUMUGHAM be deleted as an inventor in the above-identified nonprovisional patent application because his invention is no longer being claimed in the application. The correct inventors were named in the application, but the prosecution of the application resulted in the cancellation of claims, so that fewer than all of the currently named inventors are the actual inventors of the invention currently being claimed in the application. The correct inventors of the currently claimed invention are MICHAEL A. APICELLA, MELVIN G. SUNSHINE, NA-GYONG LEE, AND BRADFORD W. GIBSON.

A processing fee in accordance with 37 C.F.R. § 1.17(i) is enclosed herewith. Please apply any other charges or credits to deposit account 06-1050.

Respectfully submitted,

Date: 9 June 2004

Ann S. Viksnins
Ann S. Viksnins
Reg. No. 37,748

Fish & Richardson P.C.
225 Franklin Street
Boston, MA 02110-2804
Telephone: (617) 542-5070
Facsimile: (617) 542-8906

60211708.doc

06/16/2004 SDIRETA1 00000140 09077572

02 FC:1460

130.00 OP

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

June 9, 2004
Date of Deposit

Jill Huso
Signature

Jill Huso
Typed or Printed Name of Person Signing Certificate

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Michael A. Apicella et al.

Title: NON-TOXIC MUTANTS OF PATHOGENIC GRAM-NEGATIVE BACTERIA

Docket No.: 875.001US2

Filed: October 13, 1998

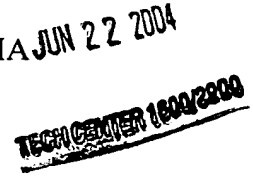
Examiner: S. Devi



Serial No.: 09/077,572

Due Date: N/A

Group Art Unit: 1641



Attn: Box Assignment

Hon. Commissioner for Patents and Trademarks

Washington, D.C. 20231

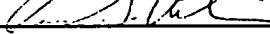
We are transmitting herewith the attached:

- ☒ An Assignment of the invention to The Regents of the University of California (2 pgs.) and Recordation Form Cover Sheet (1 pg.).
- ☒ A check in the amount of \$40.00 to cover the Assignment Recording Fee.
- ☒ A return postcard.
- Other: ____.

Please charge any additional required fees or credit overpayment to Deposit Account No. 19-0743.

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described above, are being deposited in the United States Postal Service, as first class mail, in an envelope addressed to: Attn: Box Assignment, Hon. Commissioner for Patents and Trademarks, Washington, D.C. 20231, on this 14th day of July, 1999.

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.
P.O. Box 2938, Minneapolis, MN 55402 (612-373-6900)

By: 
Name: Ann S. Viksnins
Reg. No. 37,748
ASV:CMG:af

07-14-1999

COMMERCE
Trademark Office

Atty Ref/Docket No.: 875.001US28

JUN 14 2004



101088203

To the Honorable Commissioner of Patents and Trademarks: Please record the attached origi.

1. Name of conveying party(ies):

Bradford W. Gibson

2. Name and address of receiving party(ies):

Name: The Regents of the University of California

Additional name(s) of conveying party(ies) attached? [] Yes [X] No

3. Nature of conveyance:

- [X] Assignment [] Merger
[] Security Agreement [] Change of Name
[] Other

Street Address: 1111 Franklin Street
Fifth Floor

City: Oakland State: CA ZIP: 94607-5200

Execution Date: September 17, 1999

Additional name(s) & address(es) attached? [] Yes [X] No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

B. Patent No.(s)

Serial No. 09/077,572, filed October 13, 1998

Additional numbers attached? [] Yes [X] No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Ann S. Viksnins

Address: Schwegman, Lundberg, Woessner & Kluth, P.A.
P.O. Box 2938
Minneapolis, MN 55402

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$ 40.00

- [X] Enclosed
[] Authorized to be charged to deposit account

8. Please charge any additional fees or credit any overpayments to our
Deposit account number: 19-0743

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Ann S. Viksnins/Reg. No. 37,748

Name of Person Signing

Signature

Date

Total number of pages including cover sheet: 3

OMB No. 0651-0011 (exp. 4/94)

07/13/1999 DNGUYEN 00000358 09077572

01 FC:581

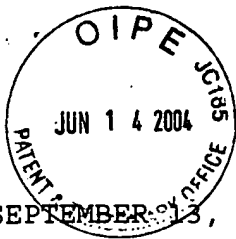
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Commissioner of Patents and Trademarks
Box Assignments
Washington, D.C. 20231

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SEPTEMBER 13, 1999



475.0010.5
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

PTAS

SCHWEGMAN, LUNDBERG, WOESSNER
& KLUTH, P.A.
ANN S. VIKSNINS
P.O. BOX 2938
MINNEAPOLIS, MN 55402



101088203A

JUN 22 2004

TECH CENTER 1600/2900

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/12/1999

REEL/FRAME: 010083/0800
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

GIBSON, BRADFORD W.

DOC DATE: 09/17/1998

ASSIGNEE:

REGENTS OF THE UNIVERSITY OF
CALIFORNIA, THE
1111 FRANKLIN STREET
FIFTH FLOOR
OAKLAND, CALIFORNIA 94607-5200

SERIAL NUMBER: 09077572
PATENT NUMBER:

FILING DATE: 10/13/1998
ISSUE DATE:

KIMBERLY WHITE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

Schwegman, Lundberg,
Woessner & Kluth, P.A.

SEP 20 1999

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ASSIGNMENT

WHEREAS, I, Bradford W. Gibson, residing at 1324 Peralta Avenue, Berkeley, CA 94702, made certain new and useful inventions and improvements for which I, together with Michael A. Apicella, Melvin G. Sunshine, Na-Gyong Lee and Rasappa Arumugham filed an application for Letters Patent of the United States on June 1, 1998, which application was assigned U.S. patent application serial number 09/077,572, and is entitled NON-TOXIC MUTANTS OF PATHOGENIC GRAM-NEGATIVE BACTERIA.

AND WHEREAS, The Regents of the University of California, a corporation organized and existing under and by virtue of the laws of the State of California, and having an office and place of business at 1111 Franklin Street, Fifth Floor, Oakland, California 94607-5200, (hereinafter "Assignee") is desirous of acquiring the entire right, title and interest in and to said inventions, improvements and application and in and to the Letters Patent to be obtained therefor;

NOW, THEREFORE, to all whom it may concern, be it known that for good and valuable consideration, the receipt and sufficiency whereof is hereby acknowledged, I have sold, assigned, and transferred, and by these presents do sell, assign and transfer unto said Assignee, its successors or assigns, the entire right, title and interest for all countries in and to all inventions and improvements disclosed in the aforesaid application, and in and to the said application, all divisions, continuations, or renewals thereof, all Letters Patent which may be granted therefrom, and all reissues or extensions of such patents, and in and to any and all applications which have been or shall be filed in any foreign countries for Letters Patent on the said inventions and improvements, including an assignment of all rights under the provisions of the International Convention, and all Letters Patent of foreign countries which may be granted therefrom; and I do hereby authorize and request the Commissioner of Patents and Trademarks to issue any and all United States Letters Patent for the aforesaid inventions and improvements to the said Assignee as the assignee of the entire right, title and interest in and to the same, for the use of the said Assignee, its successors and assigns.

AND, for the consideration aforesaid, I do hereby agree that me and my executors and legal representatives will make, execute and deliver any and all other instruments in writing including any and all further application papers, affidavits, assignments and other documents, and will communicate to said Assignee, its successors and representatives all facts known to us relating to said improvements and the history thereof and will testify in all legal proceedings and generally do all things which may be necessary or desirable more effectually to secure to and vest in said Assignee, its successors or assigns the entire right, title and interest in and to the said improvements, inventions, applications, Letters Patent, rights, titles, benefits, privileges and advantages hereby sold, assigned and conveyed, or intended so to be.

AND, furthermore I covenant and agree with said Assignee, its successors and assigns, that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by me/us and that full right to convey the same as herein expressed is possessed by us.

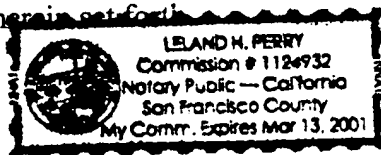
IN TESTIMONY WHEREOF, I have hereunto set my hand this 17th day of September, 1998.

Bradford W. Gibson
Bradford W. Gibson

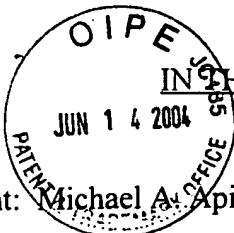
STATE OF CALIFORNIA
City and San Francisco) ss.
COUNTY OF SAN FRANCISCO

On this 17th day of SEPTEMBER, 1998 before me personally appeared Bradford W. Gibson
Or proved to me on the basis of satisfactory evidence,
to me known and known to me to be the person described in and who executed the foregoing
instrument, and he/~~she~~ duly acknowledged to me that he/~~she~~ executed the same for the uses and
purposes therein set forth.

[SEAL]



X [Signature]
Notary Public



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Michael A. Apicella et al.

Title: NON-TOXIC MUTANTS OF PATHOGENIC GRAM-NEGATIVE BACTERIA

Docket No.: 875.001US2

Filed: October 13, 1998

Examiner: S. Devi

Serial No.: 09/077,572

Due Date: N/A

Group Art Unit: 1641

JUN 22 2004

TECH CENTER 1600/2300

Attn: Box Assignment

Hon. Commissioner for Patents and Trademarks

Washington, D.C. 20231

We are transmitting herewith the attached:

- ☒ An Assignment of the invention to University of Iowa Research Foundation (5 pgs.) and Recordation Form Cover Sheet (1 pg.).
- ☒ A check in the amount of \$40.00 to cover the Assignment Recording Fee.
- ☒ A return postcard.
- ☐ Other: ____.

Please charge any additional required fees or credit overpayment to Deposit Account No. 19-0743.

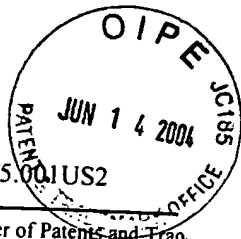
CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described above, are being deposited in the United States Postal Service, as first class mail, in an envelope addressed to: Attn: Box Assignment, Hon. Commissioner for Patents and Trademarks, Washington, D.C. 20231, on this 7th day of July, 1999.

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.
P.O. Box 2938, Minneapolis, MN 55402 (612-373-6900)

By: [Signature]
Name: Ann S. Viksnins
Reg. No. 37,748
ASV:CMG:af

FORM PTO-1584
01-10-96-CMG

Atty Ref/Docket No.: 875.001 US2



07-14-1999



U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

101088204

To the Honorable Commissioner of Patents and Trademarks, U.S. Department of Commerce, Patent and Trademark Office, Washington, D.C. 20231

1. Name of conveying party(ies):

2. Name and address of receiving party(ies):

Michael A. Apicella, Melvin G. Sunshine, Na-Gyong Lee

Name: University of Iowa Research Foundation

Additional name(s) of conveying party(ies) attached? [] Yes [X] No

3. Nature of conveyance:

- [X] Assignment [] Merger
[] Security Agreement [] Change of Name
[] Other

Street Address: 100 Oakdale Campus
#214 TIC

City: Iowa City State: IA ZIP: 52242-5000

Execution Date: July 30, 1999, July 30, 1999, August 11, 1999

Additional name(s) & address(es) attached? [] Yes [X] No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s)

Serial No. 09/077,572, filed October 13, 1998

Additional numbers attached? [] Yes [X] No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Ann S. Viksnins

Address: Schwegman, Lundberg, Woessner & Kluth, P.A.
P.O. Box 2938
Minneapolis, MN 55402

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$ 40.00

[X] Enclosed

[] Authorized to be charged to deposit account

8. Please charge any additional fees or credit any overpayments to our
Deposit account number: 19-0743

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Ann S. Viksnins/Reg. No. 37,748

Name of Person Signing

Signature

Date

7 July 1999
Total number of pages including cover sheet: 6

OMB No. 0651-0011 (exp. 4/94)

3/1999 DNGUYEN 00000359 09077572

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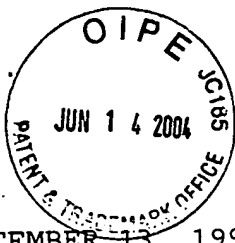
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Washington, D.C. 20231

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SEPTEMBER 13, 1999



PTAS

SCHWEGMAN, LUNDBERG, WOESSNER
& KLUTH, P.A.
ANN S. VIKSNINS
P.O. BOX 2938
MINNEAPOLIS, MN 55402

87-001052
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231



101088204A

JUN 22 2004

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UNITED STATES PATENT AND TRADEMARK OFFICE
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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/12/1999

REEL/FRAME: 010083/0818
NUMBER OF PAGES: 6

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
APICELLA, MICHAEL

DOC DATE: 07/30/1998

ASSIGNOR:
SUNSHINE, MELVINE G.

DOC DATE: 07/30/1998

ASSIGNOR:
LEE, NA-GYONG

DOC DATE: 08/11/1998

ASSIGNEE:
UNIVERSITY OF IOWA RESEARCH
FOUNDATION
100 OAKDALE CAMPUS, #214 TIC
IOWA CITY, LOUISIANA 52242-5000

SERIAL NUMBER: 09077572
PATENT NUMBER:

FILING DATE: 10/13/1998
ISSUE DATE:

Schwegman, Lundberg
Woessner & Kluth, P.A.

SEP 20 1999

RECEIVED

010083/0818 PAGE 2

KIMBERLY WHITE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

ASSIGNMENT

WHEREAS, WE, Michael A. Apicella, residing at 2646 Johnsons Crossing, N.E., Solon, IA 52333, and Melvin G. Sunshine, residing at 340 Raven Street, Iowa City, IA 52245, Administration, and Na-Gyong Lee, residing at Apartment 27-1309, Nam-gu Hakik-2-dong, Sindong-a, Incheon, Korea, made certain new and useful inventions and improvements for which We, together with Rasappa Arumugham and Bradford W. Gibson, filed an application for Letters Patent of the United States on June 1, 1998, which application was assigned U.S. patent application serial number 09/077,572, and is entitled NON-TOXIC MUTANTS OF PATHOGENIC GRAM-NEGATIVE BACTERIA.

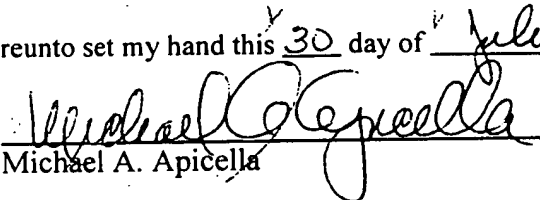
AND WHEREAS, UNIVERSITY OF IOWA RESEARCH FOUNDATION, a corporation organized and existing under and by virtue of the laws of the State of Iowa, and having an office and place of business at 100 Oakdale Campus, #214 TIC, Iowa City, Iowa 52242-5000, (hereinafter "Assignee") is desirous of acquiring the entire right, title and interest in and to said inventions, improvements and application and in and to the Letters Patent to be obtained therefor;

NOW, THEREFORE, to all whom it may concern, be it known that for good and valuable consideration, the receipt and sufficiency whereof is hereby acknowledged, we have sold, assigned, and transferred, and by these presents do sell, assign and transfer unto said Assignee, its successors or assigns, the entire right, title and interest for all countries in and to all inventions and improvements disclosed in the aforesaid application, and in and to the said application, all divisions, continuations, or renewals thereof, all Letters Patent which may be granted therefrom, and all reissues or extensions of such patents, and in and to any and all applications which have been or shall be filed in any foreign countries for Letters Patent on the said inventions and improvements, including an assignment of all rights under the provisions of the International Convention, and all Letters Patent of foreign countries which may be granted therefrom; and we do hereby authorize and request the Commissioner of Patents and Trademarks to issue any and all United States Letters Patent for the aforesaid inventions and improvements to the said Assignee as the assignee of the entire right, title and interest in and to the same, for the use of the said Assignee, its successors and assigns.

AND, for the consideration aforesaid, we do hereby agree that we and our executors and legal representatives will make, execute and deliver any and all other instruments in writing including any and all further application papers, affidavits, assignments and other documents, and will communicate to said Assignee, its successors and representatives all facts known to us relating to said improvements and the history thereof and will testify in all legal proceedings and generally do all things which may be necessary or desirable more effectually to secure to and vest in said Assignee, its successors or assigns the entire right, title and interest in and to the said improvements, inventions, applications, Letters Patent, rights, titles, benefits, privileges and advantages hereby sold, assigned and conveyed, or intended so to be.

AND, furthermore we covenant and agree with said Assignee, its successors and assigns, that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by me/us and that full right to convey the same as herein expressed is possessed by us.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 30 day of July, 1998.

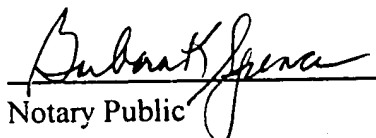


Michael A. Apicella

STATE OF Iowa)
)ss.
COUNTY OF Johnson)

On this 30 day of July, 1998 before me personally appeared Michael A. Apicella to me known and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same for the uses and purposes therein set forth.

[SEAL]



Notary Public

IN TESTIMONY WHEREOF, I have hereunto set my hand this 30 day of July, 1998.

Melvin G. Sunshine
Melvin G. Sunshine

STATE OF Towa)
)ss.
COUNTY OF Johnson)

On this 30 day of July, 1998 before me personally appeared Melvin G. Sunshine to me known and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same for the uses and purposes therein set forth.

[SEAL]

Barbara K. France
Notary Public

IN TESTIMONY WHEREOF, I have hereunto set my hand this 11 day of August, 1998.

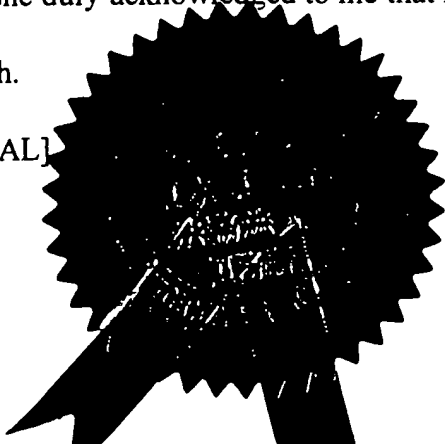
Na Gyong Lee
Na-Gyong Lee

STATE OF Republic of Korea)
)ss.
COUNTY OF Incheon City)

On this 11 day of August, 1998 before me personally appeared Na-Gyong Lee to me known and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same for the uses and purposes therein set forth.

[SEAL]

We Churdwan
Notary Public



경기도 수원시 팔달구 원천동 83-23
승전빌딩 4층
(제42호 서식)

공증
인가 동수원종합법무법인
THE EAST SUWON LAW CORPORATION

대표전화: 211-1411~3
F A X: 211-7073

19 98 년 등부 제 4090 호 Registered No.1998 - 4090

인 증

NOTARIAL CERTIFICATE

위 양도서 _____

NA-GYOUNG LEE.

에 기재된 이 나 경 _____

personally appeared before
me and admitted his(her)
subscription to the attached.

ASSIGNMENT.

본직의 면전에서 위 사서증서에
자기가 기명날인 한 것임을 자인하였다.

19 98 년 8 월 11 일

This is hereby attested on this 11TH day
of AUGUST 1998 at this office.

이 법인 사무소에서

위 인증한다.

공증
인가 동수원종합법무법인

경기도 수원시 팔달구 원천동 83-23

THE EAST SUWON LAW CORPORATION
83-23, Wonchun-dong, Pal dal-Ku,
Suwon city, Kyunggi-do, Korea

위 철환

담당변호사

We churlwhan

Attorney at Law acting as Notary Public

위 철 환

CHURL WHAN WE

본 법인은 법률 제3790호에 의거하여
법무부 장관으로부터 공증인 업무를 행
할 것을 인가받았다.

This office has been authorized by the
Minister of Justice, the Republic of Korea,
to act as Notary Public in accordance
with Law No.3790.